

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No.	PIC-0126
First Inventor	Sze Tan
Title	"Wavelength Control for Cavity Ringdown Spectrometer"
Express Mail Label No.	EU 9608888 21

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning design patent application contents.

1. ☒ Fee Transmittal Form  
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification (Total Pages   
(preferred arrangement set forth below)
  - Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) (Total Sheets )
5. Oath or Declaration (Total Pages )
  - a. Un-Executed Original
  - b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for a continuation/divisional with Box 18 completed)
  - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☒ Application Data Sheet. See 37 CFR 1.76

**ADDRESS TO**Commissioner for Patents  
P. O. Box 1450  
Alexandria, Virginia 22313-1450

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper (number of pages )
  - c. ☐ Statements verifying identity of above copies

**ACCOMPANYING APPLICATIONS PARTS**

9. x Assignment Papers (cover sheet & document(s))
10. 37 C.F.R. §3.73(b) Statement X Power of Attorney (when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other: Express Mail Certificate

18. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: \_\_\_\_\_ / \_\_\_\_\_  
Prior application information: Examiner \_\_\_\_\_ Group / Art Unit: \_\_\_\_\_

For **CONTINUATION** or **DIVISIONAL APPS** only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.**19. CORRESPONDENCE ADDRESS**☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☒ Correspondence address below

Name	Herbert Burkard				
Address	Picarro, Inc. 480 Oakmead Parkway,				
City	Sunnyvale	State	California	Zip Code	94085
Country	USA	Telephone	(408) 962-3920	Fax	(408) 962-3203

Name (Print/Type)	Herbert Burkard	Registration No. (Attorney/Agent)	24,500
Signature		Date	18/March/02

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS.

22387 U.S. PTO  
10/803827The PTO did not receive the following listed item(s) Assignment Cover Sheet

Please type a plus sign (+) inside this box → +

PTO/SB/81 (10-00)  
Approved for use through 10/31/2002. OMB 0651-0035  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>TAN, ET AL.</b>	<b>Application Number</b>	
	<b>Filing Date</b>	Herewith
	<b>First Named Inventor</b>	Sze Tan
	<b>Group Art Unit</b>	N/A
	<b>Examiner Name</b>	N/A
	<b>Attorney Docket Number</b>	PIC-0023

I hereby appoint:

☐ Practitioners at Customer Number

**OR**

☒ Practitioner(s) named below:

Name	Registration Number
Herbert Burkard	24,500

Place Customer  
Number Bar Code  
Label here

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the Patent and Trademark Office connected therewith.

Please change the correspondence address for the above-identified application to:

☐ The above-mentioned Customer Number.

**OR**

☒ Firm or  
Individual Name

Herbert Burkard, Reg. No. 24,500

Address Picarro, Inc.

Address 480 Oakmead Parkway

City Sunnyvale State California ZIP 94085

Country U.S.A.

Telephone (408) 962-3920 Fax (408) 962-3203

I am the:

☒ Applicant/Inventor.

☐ Assignee of record of the entire interest. See 37 CFR 3.71.

*Certificate under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).*

**SIGNATURE of Applicant or Assignee of Record**

Name Sze Tan

Signature *Tan Sze Tan*

Date March 16, 2004

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.

☒ \*Total of 3 forms are submitted.

Burden Hour Statement: This form is estimated to take 3 minutes to complete. Time will vary depending upon the needs of the individual case. Any Comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Please type a plus sign (+) inside this box → +

PTO/SB/81 (10-00)

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<b>TAN, ET AL.</b>	<b>Application Number</b>	
	<b>Filing Date</b>	Herewith
	<b>First Named Inventor</b>	Sze Tan
	<b>Group Art Unit</b>	N/A
	<b>Examiner Name</b>	N/A
	<b>Attorney Docket Number</b>	PIC-0126

I hereby appoint:

☐ Practitioners at Customer Number

**OR**

☒ Practitioner(s) named below:

Name	Registration Number
Herbert Burkard	24,500

Place Customer  
Number Bar Code  
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as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the Patent and Trademark Office connected therewith.

Please change the correspondence address for the above-identified application to:

☐ The above-mentioned Customer Number.

**OR**

<input checked="" type="checkbox"/> Firm or Individual Name	Herbert Burkard, Reg. No. 24,500				
Address	Picarro, Inc.				
Address	480 Oakmead Parkway				
City	Sunnyvale	State	California	ZIP	94085
Country	U.S.A.				
Telephone	(408) 962-3920	Fax	(408) 962-3203		

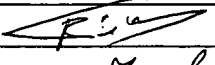
I am the:

☒ Applicant/Inventor.

☐ Assignee of record of the entire interest. See 37 CFR 3.71.

*Certificate under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).*

**SIGNATURE of Applicant or Assignee of Record**

Name	Bernard Fidric
Signature	
Date	March 16, 2004

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.

☒ \*Total of 3 forms are submitted.

Burden Hour Statement: This form is estimated to take 3 minutes to complete. Time will vary depending upon the needs of the individual case. Any Comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

16076 U.S. PTO  
031804

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# FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ ) 65

## Complete if Known

Application Number	unk.
Filing Date	herewith
First Named Inventor	Sze Tan
Examiner Name	UNK.
Art Unit	UNK
Attorney Docket No.	PIC-0126

## METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☐ Deposit Account:

Deposit Account Number

Deposit Account Name

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Credit any overpayments

☐ Charge any additional fee(s) or any underpayment of fee(s)

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

1. BASIC FILING FEE		Large Entity		Small Entity	Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee (\$)		
1001	770	2001	385		Utility filing fee	385
1002	340	2002	170		Design filing fee	
1003	530	2003	265		Plant filing fee	
1004	770	2004	385		Reissue filing fee	
1005	160	2005	80		Provisional filing fee	
SUBTOTAL (1)						(\$ )

## 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims 14 -20\*\* =  X  =

Independent Claims 2 -3\*\* =  X  =

Multiple Dependent  =

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent
SUBTOTAL (2)				(\$ ) 385

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

3. ADDITIONAL FEES		Large Entity		Small Entity	Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee (\$)		
1051	130	2051	65		Surcharge - late filing fee or oath	
1052	50	2052	25		Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130		Non-English specification	
1812	2,520	1812	2,520		For filing a request for <i>ex parte</i> reexamination	
1804	920*	1804	920*		Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*		Requesting publication of SIR after Examiner action	
1251	110	2251	55		Extension for reply within first month	
1252	420	2252	210		Extension for reply within second month	
1253	950	2253	475		Extension for reply within third month	
1254	1,480	2254	740		Extension for reply within fourth month	
1255	2,010	2255	1,005		Extension for reply within fifth month	
1401	330	2401	165		Notice of Appeal	
1402	330	2402	165		Filing a brief in support of an appeal	
1403	290	2403	145		Request for oral hearing	
1451	1,510	1451	1,510		Petition to institute a public use proceeding	
1452	110	2452	55		Petition to revive - unavoidable	
1453	1,330	2453	665		Petition to revive - unintentional	
1501	1,330	2501	665		Utility issue fee (or reissue)	
1502	480	2502	240		Design issue fee	
1503	640	2503	320		Plant issue fee	
1460	130	1460	130		Petitions to the Commissioner	
1807	50	1807	50		Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180		Submission of Information Disclosure Stmt	
8021	40	8021	40		Recording each patent assignment per property (times number of properties)	
1809	770	2809	385		Filing a submission after final rejection (37 CFR 1.129(a))	
1810	770	2810	385		For each additional invention to be examined (37 CFR 1.129(b))	
1801	770	2801	385		Request for Continued Examination (RCE)	
1802	900	1802	900		Request for expedited examination of a design application	
Other fee (specify) <input type="text"/>						
*Reduced by Basic Filing Fee Paid						
SUBTOTAL (3)						(\$ )

SUBMITTED BY		(Complete if applicable)	
Name (Print/Type)	Herbert Burkard	Registration No. (Attorney/Agent)	24,500
Signature		Telephone	408-962-3920
		Date	18/Nov/04

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

## EXPRESS MAIL CERTIFICATE

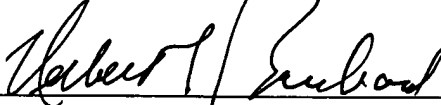
Express Mail mailing number: EN 960 8888 21  
Date of Deposit: March , 2004

ATTORNEY DOCKET NO. PIC-0126

I hereby certify that this paper or fee is being deposited with the United States Postal Service Express Mail Post Office to Addressee@ service under 37 CFR 1.10 on the date indicated above and is addressed to Box Patent Application, Commissioner for Patents, P. O. Box 1450, Alexandria, Virginia 22313-1450.

Herbert Burkard

Name



Signature

March 18, 2004

Date

1. Check for \$385.00
2. Postcard for Return Receipt
3. Express Mail Certificate (1 p)
4. Utility Patent Application Transmittal Form SB/05(1 p)
5. Fee Transmittal Form SB/17(1 p)
6. Declaration Form SB/01(2 pp)
7. Power of Attorney Form SB/81(2pp)
8. Assignment (3pp)
9. Inventor Information Sheet (2 p)
10. Specification (16pp)
11. 14 claims (2 pp)
12. Abstract (1 p)
13. Drawings Sheets Figs. 1-5 (5pp)